Attorney Docket No. 30014200-1057

**PATENT** 

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE ECEIVED

| In re P                  | atent Application of: | ) | Group Art Unit: 2172   | APR 2 0 2004          |  |
|--------------------------|-----------------------|---|--|-----------------------|--|
| Brian Holtz, et al.      |                       | ) | Examiner: Kim Y. Vu  | Technology Center 210 |  |
| Applic                   | ration No. 10/021,943 | ) | I hereby certify that this document with the United States Postal Service                    | e as first class mail |  |
| Filed: December 12, 2001 |                       | ) | in an envelope addressed to: Comm<br>P.O. Box 1450, Alexandria, VA 223<br>on April 12, 2004. |                       |  |
| For:                     | FILE TREE COMPARATOR  | ) | Antonietta Musto   | Justa                 |  |

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

## TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT WITHIN THREE MONTHS OF FILING OR BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. section 1.97(b))

## IDENTIFICATION OF TIME OF FILING THE ACCOMPANYING INFORMATION DISCLOSURE STATEMENT

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 C.F.R. section 1.97(b).

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. section 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists.

Transmittal of Information Disclosure Statement Page 2

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

Respectfully submitted,

Dated: April 12, 2004

By: \_\_\_\_\_

Registration No. 42,121

SONNENSCHEIN NATH & ROSENTHAL LLP

P.O. Box 061080

Wacker Drive Station, Sears Tower

Chicago, Illinois 60606-1080

(312) 876-8000

PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

.Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of info unless it contains a valid OMB control number.

| CS.pt. die for form 1449A/PTO |                                  | Co                     | Complete if Known   |  |  |
|-------------------------------|----------------------------------|------------------------|---------------------|--|--|
|                               |                                  | Application Number     | 10/021,943          |  |  |
|                               | RMATION DISCLOSURE               | Filing Date            | December 12, 2001   |  |  |
| STATEMENT BY APPLICANT        |                                  | First Named Inventor   | Brian Holtz, et al. |  |  |
|                               |                                  | Group Art Unit         | 2172                |  |  |
|                               | (use as many sheets as necessary | Examiner Name          | Kim Y. Vu           |  |  |
| Sheet                         | of                               | Attorney Docket Number | 30014200-1057       |  |  |

| U.S. PATENT DOCUMENTS |                          |   |                                |  |   |
|-----------------------|--------------------------|---|--------------------------------|--|---|
| Examiner Initials*    | Cite<br>No. <sup>1</sup> | Document Number  Number-Kind Code <sup>2 (if known)</sup> | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages or<br>Relevant Figures Appear |
|                       |                          | US-4,558,413  | 12-10-1985                     | Schmidt et al.                                     |   |
|                       |                          | US 5,588,147  | 12-24-1996                     | Neeman et al.                                      | RECEIVED  |
|                       |                          | US-5,600,834  | 02-04-1997                     | Howard   | TLOLIVED  |
|                       | -                        | US-5,778,389  | 07-07-1998                     | Pruett et al.                                      | APR 2 0 2004  |
|                       |                          | US-6,098,078  | 08-01-2000                     | Gehani et al.                                      | HI IV A O CO  |
|                       |                          | US-6,243,705  | 06-05-2001                     | Kucala   | Technology Center 2100  |
|                       |                          | US-6,343,299  | 01-29-2002                     | Huang et al.                                       | roominology of the zero   |

| FOREIGN PATENT DOCUMENTS |           |   |                                |  |   |    |
|--------------------------|-----------|---|--------------------------------|--|---|----|
| Examiner Initials*       | Cite No.1 | Foreign Patent Number  Country Code <sup>3</sup> Number Kind Code <sup>5</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages or<br>Relevant Figures Appear | Te |
|                          |           | EP 0 684 558 A1   | 11-29-1995                     | IBM  |   |    |

| OTHER ITEMS - NON PATENT LITERATURE DOCUMENTS |              |   |                |  |
|---|--------------|---|----------------|--|
| Examiner<br>Initials*                         | Cite<br>No.1 | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |  |
|   |              | PRABHU RAM and LYMAN DO, "Extracting Delta for Incremental Data Warehouse Maintenance", June 200, pp. 220-29, Phantom Works Mathematics and Computing Technology, Seattle, Washington.  |                |  |
|   |              |   |                |  |
|   |              |   | -              |  |
|   |              |   |                |  |
| · · ·   |              |   |                |  |
|   |              |   |                |  |

| Examiner  | D | Date       |  |
|-----------|---|------------|--|
| Signature | C | Considered |  |

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unque citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at <a href="www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file ( and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.